



## **RESILIENT LEADERSHIP: INTEGRATING STABILITY AND AGILITY IN THE FIVE DIMENSION® LEADERSHIP MODEL**

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### **SUMMARY**

Leadership has emerged as a key to organizational effectiveness and as a critical tool for integrating quality throughout the organization. Simple but complete, the five dimension leadership model provides a framework for integrating both stability and agility, to enhance an organization's ability to guide its customers and constituents but yet be continuously responsive to their needs.

### **INTRODUCTION**

John Kotter's (2004) vision of creating "100 million new leaders" emphasizes the need to have leaders throughout the organization, providing "leadership in their jobs—no matter what their jobs are," rather than just a few leaders at the top. Most leadership models imply an "elitist" view of leadership with a leader out in front, leading the way as others follow—providing guidance to the masses. What Kotter describes as the "populist" view of leadership instead implies a model that is responsive to the masses and also permits them to provide guidance among themselves and to those who are responsible for managing the affairs of the organization. What we need, then, are "leader-based" organizations, with leadership capacity embedded throughout the organization. In contrast to heavily structured management-based organizations, the leader-based organization increases the organization's agility and its

ability to respond to change so that it can continue to survive.

What leadership model, then, is robust enough to account for "leadership at the top" as well as pervasive leadership throughout the organization? What model will account for relationships among not only internal staff of the organization, but other constituents, including shareholders, suppliers, and ultimate customers? This paper shows how the five dimension leadership model, developed over a decade ago, provides an integrative leadership model that can assist in developing a leader-based organization that is both agile and stable and, as a consequence, is also resilient.

### **FIVE DIMENSION LEADERSHIP**

The five dimension definition of leadership is simple, yet complete: "Leadership is the integrated sharing of vision, resources, and value to induce positive change." (Winder, 2000) Under this definition, the leadership process is simple (see Figure 1). It is centered around vision. The leader, by understanding dynamics related to the needs of constituents, formulates a vision which encompasses those needs, and shares this vision with the other constituents. Then all participants engage in sharing vision, resources (human/time resources, information/knowledge resources, and financial/capital resources), and value in pursuit of that vision.

Vision is the comprehension of one's value to



society. Vision is described as the common good in a relationship (Winder and Judd, 1996). This common good is a linking of the needs of the participants with the human, information, and capital resources which will fulfill those needs. It integrates the existence of a need on the part of one participant with the capacity on the part of the other participant(s) to fulfill that need. Under this dynamic view of vision, it is always adjusting to meet the needs of participants. As the dynamics change, the vision flexibly responds to that change by developing and linking whatever resources are needed to fulfill those needs. If the needs change, the capacity is developed to meet the modified needs. In other words, because the needs are an elemental part of vision, the vision is always responsive to the dynamic needs of the participants. In this way, the leadership model assists an organization in constantly charting a course that is always responsive to needs of participants. This not only builds in organizational agility, it also builds resilience into the organization.

Vision has often been described as a view of a future state of the organization. Vision is not just a perception of the future, but an understanding and use of current character, competencies and values to crystallize the future. While vision encompasses the future of the organization, it also encompasses the present, because it is the present capacity of the organization which gives it the power to move to the future state. In the leadership model, vision is not a distant light on the horizon which grows brighter and brighter as we draw nearer to it. Rather it is a burning fire within which illuminates everything we do. Vision is as relevant to the present as it is to the future. Vision illuminates the future, but it also elucidates the present. In fact, it is a clear vision of the present which leads us into the future.

Vision, then, is enhanced by knowledge of our capacity, including the competencies, measurements, and systems which define our capacity. Our capacity relates to our ability to fulfill needs. A true knowledge of our capacity gives us a true knowledge of the needs we can assist in fulfilling. This is the reason we are constantly amazed at what is accomplished by a visionary. It is not that they walk on water. Rather, it is that they understand their capacity, and they do not limit their capacity by thinking in traditional paradigms. When President John F. Kennedy declared, "We choose to go to the moon" he was not simply describing a future hope. He was describing a capacity which he knew existed. Since all the resources were not currently available at that time, part of that capacity involved the ability to put together the

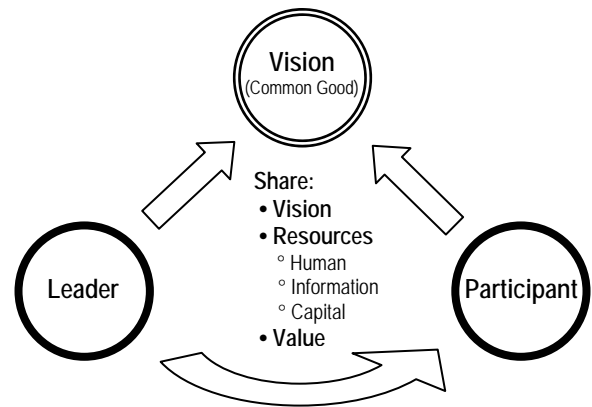


Figure 1. Five Dimension Leadership Model

resources that were needed in order to fulfill the vision. If our view of our capacity is limited, so is our vision. Consequently, limitations on our vision, and the resulting limitations on our capacity, are often self-imposed.

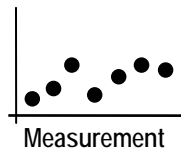
### THE FIVE DIMENSION FRAMEWORK

The leadership model exists in a five dimension framework which is integral to the understanding of leadership. The five dimensions are literal dimensions. (Winder, 1993) See Chart 2 at the end of this article.



Experience

Experience is a first dimension function. In this single dimension things are actually done. "Dreams become reality." It is literally one dimension, represented by a string of incidents, such as a stream of consciousness story. Its power is that unless it is fulfilled, plans remain plans and are not put into action. Its value is that 1) it is the means (and the only means) of bringing vision into reality; and 2) it provides a basis for learning. The "sharing of resources" part of leadership takes place in this dimension.



Measurement

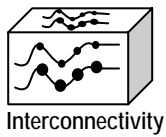
Measurement is a second dimension function, which is essential to leadership. It provides a means of assessing not only whether something was done, but also how well or how poorly it was done and its impact. It also provides us with a means of assessing the needs that are an integral part of the vision, and assessing resource capacity available to meet those needs. In this manner, this dimension provides us with knowledge of the system.





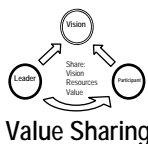
Relationships and systems thinking are third dimension functions which enable us to see the relationship between actions and results, and to organize processes and systems

which capture those relationships to increase efficiency. This dimension gives us the power to identify leverage points where action can be taken to establish systems and processes and generate improvements. In addition, interpersonal relationships are an essential part of leadership. Implicit in the “sharing” function of leadership is the recognition of relationships.



Interconnectivity, or paradigm logic, permits us to view results and relationships from a different perspective—through new eyes—

which enhances our understanding and leads to innovation and change. This shift in paradigms can provide new logic which then provides a powerful foundation for innovation and change in an organization. This dimension is also the home of intuition, which can contribute significantly to the leadership function.



Value sharing, the highest dimension, is the dimension of the whole. It permits us to see where value exists and how it can be shared for maximum efficiency and

effectiveness. This dimension is illustrated by the phrase, "If I give you something that has more value to you than it does to me, then together we are better off as a result of the trade." This dimension is expressed by "delight the customer" (give the customer more than he or she is paying for). The leadership model is the symbol of value sharing because value sharing is made operational through leadership. Value sharing plays a crucial role in developing and sustaining the relationships that are so essential for leadership. The primary measures of value sharing are: 1) participants give more than required (e.g., delight the customer); 2) participants become sustaining members (e.g., repeat customers and long-term employees); and 3) participants share the vision (e.g., word of mouth advertising by customers, or employees who create what Jan Carlzon, 1987, of Scandinavian Airlines called “moments of truth” for customers).

## THE POWER OF RELATIONSHIPS

Relationships are an essential element of leadership. In fact, leadership could not exist without relationships. The level of the relationship can have an impact on leadership. A higher quality relationship will enhance leadership. In fact, the power of relationships is embedded in the relational definition of quality: “Quality is an on-going process of building and sustaining relationships by assessing, anticipating and fulfilling stated and/or implied needs.” Winder 1994.

Selling Price Patterns for \$3,000 Car				
	Nasty Neighbor	Complete Stranger	Childhood Friend	Sibling
	65	0	0	0
\$3,500	263	39	2	0
\$3,250	21	33	5	1
\$3,000	236	476	122	29
\$2,750	11	30	135	24
\$2,500	4	22	298	199
	0	0	38	348
Total	600	600	600	600

Chart 1. Selling Price Patterns for \$3,000 Car.

The relational dynamic is demonstrated in a survey asking the least amount the participant would accept for his or her \$3,000 car from a nasty neighbor, from a complete stranger, from a childhood friend, and from a sibling. The results of this survey among several groups are included in Chart 1. Similar results in a buyer questionnaire indicate that where there is a relationship, a buyer will pay more. As these combined results demonstrate, where there is a relationship, a seller will accept less and a buyer will pay more. This increases the trading range, and increases the likelihood that a trade will take place. But more important than that, the trade takes on a different dimension—the trade begins to flow from the relationship, providing a continuous stream of income. When these dynamics begin to take effect, a participation dynamic develops in which participants begin to contribute resources to a common endeavor. Participants give more than required; they become "sustaining members" of the organization through repeat purchases or long-term employment; and they begin to share the vision of the organization with others through "word-of-mouth" advertising of customers, and by employees creating "moments of truth" that live on in the minds of customers. At this point, the participants are no longer strangers or outsiders to the organization, but they are an integral



part of what the organization is all about. They become a part of its infrastructure and, in a very real way, shape the character of the organization. In other words, the organization would not be the same without their integral participation.

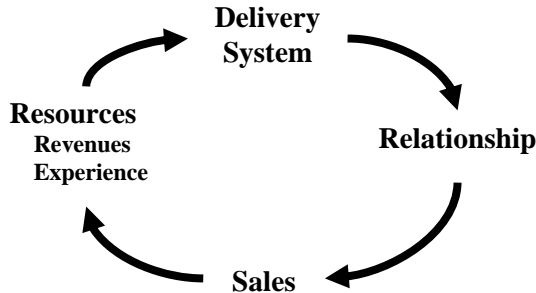


Figure 2. Influence Diagram of the effect of relationships on sales.

The integral role of relationships in building and sustaining a customer base is illustrated in the influence diagram (Figure 2). Building relationships improves sales, by expanding the trading range and increasing the likelihood that a sale will take place. Increasing sales provide additional resources—both financial (sales revenues) as well as skills (higher production levels provide more experience in producing the product or service). Additional resources provide the opportunity to improve the delivery system. An improved delivery system enhances relationships with customers because it is more responsive to their needs. The cycle then continues. Better relationships improve sales, which enhance resources, which improve the delivery system, which enhances relationships, etc. On the other hand, destroying relationships can have the opposite effect: it can result in decreasing sales, fewer resources, and a less effective delivery system, which only erodes relationships further and continues a downward spiral.

While the economic impact of relationships is significant, the influence of relationships on leadership is just as profound. Imagine a leadership environment in which participants give more than required, become sustaining members, and share the vision of the organization or undertaking. Imagine an environment in which the work of the organization is described as “what can we do together?” rather than “what can I get them to do?” Imagine an organization whose staff members simply do what needs to be done, not because of the incentives they receive for doing so, but simply because it needs to be done.

Relationships are even more significant when we understand their different dimensions: action (relationship with self, and conscious choice as to what is done); interaction (relationship with others, with an inherent dynamic which balances “what can I use” with “what can I contribute”); connection (team relationships in which there is synergy—in which the whole is greater than the sum of the parts); interconnection (a blend of internal and external relationships in which vision is shared and needs are understood); and community (in which the individuals/organizations see themselves as an integral part of the broader community rather than simply as traders dealing with this community). The unique, interconnective blend of sharing vision and being responsive to needs is built in to the leadership model as the guidance and responsive functions of leadership.

### THE GUIDANCE AND RESPONSIVE FUNCTIONS OF LEADERSHIP

Integral to the leadership model are the guidance and responsive functions of leadership. These are derived from the “sharing” function of leadership. Two relevant definitions of “sharing,” as applied to vision are:

1. “Give away or contribute;” and
2. “Hold in common.”

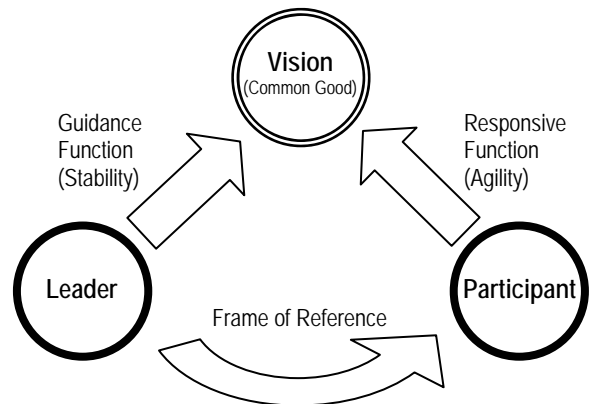


Figure 3. The Guidance and Responsive Functions of Leadership

Giving away or contributing vision, or “sharing the vision,” constitutes the guidance function of leadership. Holding a vision in common, or having a “shared vision,” constitutes the responsive function of leadership.

In the leadership model, the guidance function is the leader’s contribution to vision, represented by





the arrow pointing from the leader to the vision (See Figure 3). The guidance function is enhanced by experience. For example, the lawyer learns quickly that there is no substitute for experience—the lawyer’s wealth of experience becomes critical in guiding a client to a beneficial solution. So it is with organizational leaders—the experience they gain provides a base for them to understand the dynamics of the market in which the organization exists, and to respond to the needs of that market.

The responsive function is the participant’s contribution to vision, represented by the arrow pointing from the participant to the vision. This function puts the customer at center stage, providing a range of new and standard needs that the organization needs to address. Importantly, the customer’s needs are rarely static; instead they are dynamic—always changing. So if we are to effectively address clients’ or customers’ needs, we need to be responsive to the ever-changing nature of those needs and deploy resources and create and modify systems in response to those needs.

Both the guidance and the responsive functions are essential to leadership. The guidance function helps us lead staff and customers to effective solutions and the responsive function helps us to effectively recognize and respond to the dynamic needs of customers and staff. It is the balance of these functions which provides the most effective leadership for pervasive use throughout the organization. Total focus on the guidance function leads to a directive, control and command style of leadership. While this may be useful in an emergency or where quick action is needed, it is not helpful in the development of leadership throughout the organization because it can lead to dependence on the leader for the vision. On the other hand, total focus on the responsive function of leadership can lead to a participative, collaborative effort without real direction as to the ultimate goal.

The integration of these functions facilitates both stability and agility. While these terms may seem inconsistent at first blush, they are both important to the longevity of the organization. The guidance function provides a measure of stability by maintaining an ongoing sense of the organization’s value to society—of its reason for being. The responsive function enhances agility through responsiveness to ongoing needs of constituents. This permits the leader to be both stable and agile: to guide the customer, yet remain responsive to the customer’s needs. (See Figure 3.)

An interesting dynamic takes place when the guidance and responsive functions are integrated: the responsive function builds and enhances the guidance function, which then enhances the responsive function. The responsive function expands the leader’s experience base by increasing the range of unique situations or needs which are addressed by a particular product or service. Then, in turn, the leader’s experience with a wide range of situations improves the leader’s experience and enhances his or her ability to provide effective guidance for the next need that arises. Contrast this with the leader who categorizes customers and constituents without looking at their individual needs. Such leaders tend to offer standard solutions and tend to be less able to structure solutions that meet the real needs of their constituents.

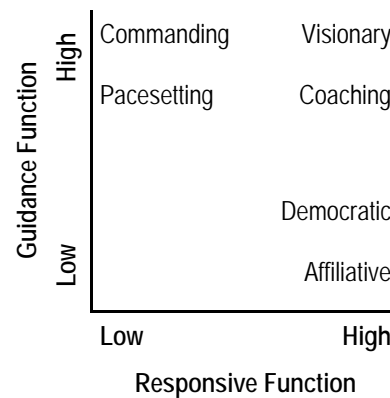


Figure 4. The Guidance and Responsive Functions and Goleman’s Styles of Leadership

This unique interplay between the guidance and responsive functions is demonstrated in Daniel Goleman’s research into leadership styles in his study of emotional intelligence. Goleman, Boyatzis, and McKee, 2002. He notes six distinct leadership styles: Visionary, Coaching, Affiliative, Democratic, Pacesetting, and Commanding. Goleman’s leadership styles exhibit a mix of the guidance and responsive functions. (See Figure 4.) Styles which he identifies as perhaps needed for a particular function but which cannot be sustained or supported in the longer term—the commanding and pacesetting styles—exhibit less responsiveness than the other styles. Yet some of the styles—such as the affiliative and democratic styles—exhibit significant responsiveness but less of the guidance function. It is not surprising that the visionary style, which exhibits the most guidance and the most responsiveness, is identified by Goleman as the most positive style in terms of emotional intelligence and in creating the kind of resonance that



boosts performance. Goleman also notes that a leader can shift from one style to another style as needed. Under the five dimension leadership model this involves adding (or subtracting) more responsiveness or more guidance to attain the desired style.

### CHAIN OF VISION

Quality literature has produced a wonderful recognition of the chain of customers—internal and external—that become a part of the quality process. But too often that chain of customers is perceived as a one-dimensional linear chain—from producer to customer/supplier to ultimate customer (typified by the bottom row in Figure 5). Each customer becomes a supplier to the next customer, who becomes a supplier to the next customer, creating a chain of customers/suppliers on through to the ultimate consumer, but with none of them having a perspective of other customers or suppliers in the chain who are not in their proximity.

The leadership model provides another dimension to the chain of customers. It is the vision node. In the leadership model, customers are linked to their suppliers not by the transactions between them, but by their relationship. Their relationship is born out of their shared vision and their desire to work together to achieve the common good which is their vision. This vision can be shared at various levels—between a direct customer and supplier (Leader/participant and participant), as well as between the producer and the ultimate customer (leader and participant). (See Figure 5.) The vision between the leader and leader/participant can be linked with the vision between the leader/participant and participant to form an overarching vision which integrates the vision of all leaders and participants in the supply chain. Goleman described this effect in his example of the CEO of Six Flags Entertainment who went undercover as a janitor to see for himself why the janitors were being surly to customers. His front-line perceptions resulted in a shift of vision from “clean up after customers” to “keep customers happy.” Of course, “keeping customers happy” involved keeping the amusement park clean; and, importantly, it tied the janitor’s role into the larger vision of the organization.

It is this chain of vision which gives the five dimension leadership model the ability to account for shareholders, suppliers, and ultimate customers as well as internal staff. This model facilitates building leadership throughout the organization (Kotter’s

“populist” view of leadership) rather than just leadership at the top (the “elitist” view of leadership).

### THE POWER OF “MANAGERS IN THE MIDDLE”

The chain of vision has particular application for “managers in the middle,” who often feel powerless to effectuate vision or change in the organization. The chain of vision can help them see their role in the organization and actively participate in accomplishing organizational vision rather than just seeing themselves as tools of upper management. Using the chain of vision, middle managers can identify the relationships that are pertinent to them, identify the vision (the “common good”) in those relationships, and identify how that vision integrates with the overall vision of the organization. Importantly, since these middle managers are closer to the “front lines” where the activity of the organization

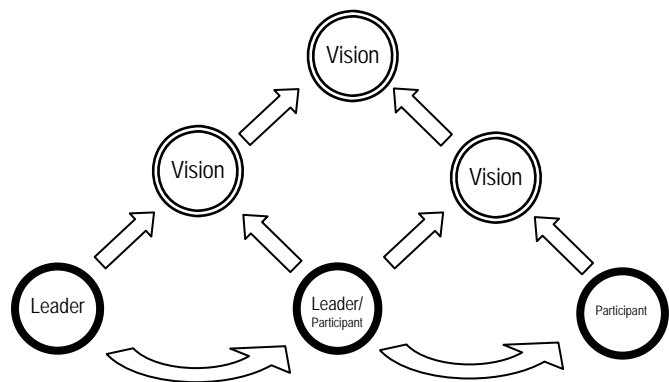


Figure 5. Chain of Vision

is taking place, they are in a better position than upper management to see and recognize internal and external needs which should be part of the vision. If they also look back along the chain to understand the needs of upper management and integrate that into the vision which links them with upper management, they then become a powerful “melting pot” for blending the vision of upper management, staff, and even customers. In this way they can have a significant impact in shaping the vision of the organization. This impact was felt in a major organization in which the CEO espoused the quality movement but did not provide details as to implementing the quality initiative. However, with the direction (and “permission”) from the top, middle managers began to identify what they could do within their scope of influence to implement the quality initiative. This



created a “blossom-up” effect which spread to other parts of the organization, until the quality initiative became well established in the organization.

## FRAME OF REFERENCE

Vision, then, becomes the node which joins the leader and the participant in a relationship for their common good. The sharing of vision becomes a critical element in leadership. If one or more of the participants do not understand the vision, the vision node lacks the glue necessary to join the participants. One of the guidance functions of the leader becomes that of sharing the vision with the participants, or in other words, educating the participants as to the common good that is derived from their relationship. This requires communication of an understanding of how the common good satisfies the needs of each of the participants (including the leader).

How does the leader share vision with someone who does not yet understand it? A critical element to sharing vision is the leader's understanding of the frame of reference of the other participant(s).

Frame of Reference relates to a person's customs, manners, training, experience and background. Everything a person perceives and understands is tempered by his or her frame of reference. From the time an individual is a young child, the things that he or she can perceive and understand are those with which the individual has had experience. An experience that is totally foreign to an individual's past experience and background will not be understood or comprehended until the frame of reference of the individual expands sufficiently to provide some familiarity with the experience.

Each experience of an individual expands his or her frame of reference, increasing his or her ability to perceive and comprehend. Understanding is achieved when and only when the person's frame of reference is expanded sufficiently to bring the object of understanding within the person's frame of reference. A concept that is “over the head” of a person at one time may later be well understood by the person as a result of expansion of the person's frame of reference even in areas not directly related to the concept. As a consequence, an experience which is only partially comprehended in early years may later provide a basis for much greater insight as the frame of reference of the individual expands sufficiently to bring the experience within the frame of reference.

Frame of reference, then, is a constantly expanding pool of customs, experience, background,

and training which increases a person's ability to understand the experiences to which the person is exposed. Frame of reference provides the interconnectivity to see things in a new light or from a different perspective (a fourth dimension function). Improved judgment comes with expansion of the individual's frame of reference. The person's broader frame of reference permits him or her to perceive more of the relevant factors necessary for effective decision making in the new situation.

Humans have a limited capacity to accept inputs and produce responses. When this capacity is surpassed, information overload occurs, reducing response rate and degrading performance. The world provides a broad range of input that sometimes seems overwhelming to the individual. However, frame of reference prevents the debilitating impact of information overload and reduces the information input to a manageable quantity by limiting the information perceived to that which is within the person's frame of reference. Davis and Olson (1985).

By screening out information that is inconsistent with a person's frame of reference, frame of reference requires its own orderly expansion rather than haphazard development. This principle can be an obstacle to effective interaction if not understood. But if understood, this principle becomes the basis for sharing vision. Leaders use this principle to “tap into” the frame of reference of the participant and expand the frame of reference (represented by the arrow between the leader and the participant in Figure 3). The expanded frame of reference provides a basis for comprehension of the vision the leader is really trying to communicate. For example, the use of parables, examples, and figurative language enables the leader to talk in language that taps into the frame of reference of the participant and expands it to provide a foundation for the leader's message. But it is not sufficient for the leader to simply tell the parable story or use the example or metaphor. Understanding is achieved when and only when the leader completes the bridge between the parable or example and the concept by explaining the parable or example. The parable or illustration serves to expand the frame of reference to the point that understanding can be achieved.

Another way in which the leader “taps into” the frame of reference of the participant is to spend time with the participant in the participant's environment. Many effective managers note the value of “spending time on the shop floor” to discover the needs of their employees and the obstacles their



employees face. Customer surveys also address this function.

An important dynamic related to the responsive function of leadership occurs as the leader seeks to understand the frame of reference of the participant. As the leader's understanding of the frame of reference of the participant is increased, the leader's own frame of reference is expanding. This may result in a reshaping of the vision to better match the leader's own revised frame of reference. Since a recent component of the leader's revised frame of reference is the participant's frame of reference, the leader's vision moves toward the participant's vision at the same time the participant's frame of reference and new vision moves toward the leader's vision. The resultant vision is, by the nature of the process, a shared vision which addresses the needs of all participants.

Once this shared vision is achieved, "commitment" by all participants to the common good that constitutes the vision becomes a natural product of the shared vision. Each participant now has a natural desire to merge the vision into reality. Unfortunately, the word "commitment" has taken on an inappropriate meaning in some leadership literature; this has clouded the management/leadership distinction. Some leadership literature speaks of "gaining commitment," with an implication of the give and take of the management world. Bennis and Nanus (1985) speak of commitment in the proper leadership sense as the leader's search for commitment: "A vision cannot be established in an organization by edict, or by the exercise of power or coercion. It is more an act of persuasion, of creating an enthusiastic and dedicated commitment to vision because it is right for the times, right for the organization, and right for the people who are working in it."

The leader's search for commitment is satisfied when and only when vision is shared. The commitment is to the shared vision, of which the other participant is an integral part, since the other participant is part of the common good that constitutes the vision. In this light, it is important to understand that the role of the leader is not to "convince" participants that they should adopt or commit to the vision. This is a management technique—often used as a sales technique—that is inconsistent with the value sharing paradigm. The root of the word "convince" means to "conquer." Since true vision reflects the common good of the participants, there is no need to convince them or "win them over." The true role of the leader becomes one of educating the participants about their needs and inviting them to join

a common enterprise for fulfilling those needs. The leader's role is not to argue about what their vision should be. And since the education process takes place within the frame of reference of the participant, the environment of learning is generally one of "tell me more" rather than "convince me."

The value of using education to expand the participant's frame of reference is illustrated by recent example from the ultrasound industry. There are a limited number of manufacturers, all focused on attempting to capture as much of the market share as they can. One approach used is to implement a number of sophisticated functions to expand the uses of the ultrasound. What some manufacturers are discovering is that these products appeal to the innovators and early adopters (representing an estimated 16% of the potential market), but the early majority and late majority (and certainly the laggards) see these sophisticated functions as "bells and whistles" which are not necessary for the basic functions for which they use the machines. Some of these manufacturers are now working with an education software developer that will permit the manufacturer to provide computer-based education available for downloading and updating over the Internet and limit the training to the specific needs of those obtaining the training. This will permit them to educate the early majority (representing an estimated additional 34% of the potential market) as to application of the technology to address the user's specific needs and expand the range of services they can provide. By using education to expand the frame of reference of this early majority group, they are "sharing the vision" and elucidating the unmet needs of this group and empowering them to use the manufacturer's products to meet those needs.

## **LEADERSHIP INTERACTION DYNAMICS**

There are two key measurements by each participant in an interaction: 1) "What can I use?" and 2) "What can I contribute?" The focus on one or both of these measurements, although normally unconscious, is a key building block of interdependence and relationships and a key force in effective leadership. For example, a total focus on "what can I use" can lead to a greed-based paradigm, where the focus is on getting and hoarding resources without regard to the needs of other participants who may be supplying those resources. This is the foundation of the "scarcity mentality" described by Covey (1993), and it destroys trust. On the other hand,





a total focus on "what can I contribute" can "sink the ship" if needed resources are squandered. It is the fine-tuned balance between these two measurements that leads to not only contribution of resources to a common good but also responsible use of resources. It is the blending of these measurements that provides the foundation for empowerment, which entails the responsible use of resources for the common good (i.e., the vision) of the organization and its participants.

Without the contribution dynamic, the leader cannot entrust resources to the participants, and he or she will instead try to control the resources, inconsistent with the trust relationship. On the other hand, irresponsible use of resources is one form of using resources inconsistent with the vision of the organization and constitutes waste. This waste dynamic builds on itself: the irresponsible use of resources (inconsistent with the organizational vision) erodes trust, resulting in the natural tendency of the leader to impose control in order to restore or maintain order. But the imposition of control as a "surrogate" for trust actually further destroys trust and reduces the effectiveness and efficiency of the leadership relationship.

In the leadership model, these "what can I use" and "what can I contribute" dynamics are supported by the guidance and responsive functions of leadership. The focus of the responsive function of leadership is on customer needs, or what the organization can contribute to fulfilling those needs. In other words, what resources will the organization dedicate to fulfilling the needs of customers? The focus of the guidance function is on the responsible use of resources (the "what can I use" dynamic). As noted above, vision is enhanced by our understanding of our capacity to meet the needs which are part of our

vision. In other words, what resources do we need, and how can we use our resources most effectively and most efficiently, to accomplish the organizational vision?

The foundation of the American economic system has, until recently, been built on the "what can I use" side of the equation. This is what underlies the "invisible hand" described by Adam Smith. Consumer needs are satisfied by the "invisible hand" of a person's self-interested desire for gain which leads him or her to develop something of use which satisfies a need and which consequently provides him or her with the resources to supply the product and profit from its sale. It is the advent of the emerging role of leadership versus management—as embedded in the quality movement and its "delight the customer" paradigm—which is moving the world economic system toward a fuller use of the contribution dynamic and thus a better balance between the use and contribution dynamics. The economic impact of this movement will be illustrated below, after first contrasting the limitations on management as a context for more fully understanding the value of leadership.

#### MANAGEMENT INTERACTION DYNAMICS

The agility and stability that leadership provides can be contrasted with the inflexibility and instability of a management structure. The American management system has been built on the "what can I use" measure. The danger of the incentive-based management system is that it places the focus of the participants on the "what can I use" rather than "what can I contribute" function. In fact, it is this very dynamic that makes the management paradigm so inflexible, and so unresponsive to constantly changing customer dynamics.

In the management system (Figure 6), organizational leadership develops a vision or mission for the organization and then asks, "how can we best use our employees to achieve this mission?" Management then establishes goals and incentives for the employees and ties these incentives to the goals and mission of the organization. As the employees do the work necessary to achieve the incentives, the work of the organization is accomplished and its mission is fulfilled. But this very incentive structure is what makes the organization inflexible and unable to respond to the changing needs of customers. What happens if the dynamics of the market or industry change? The goals of the organization must also change or the organization will find itself unable to

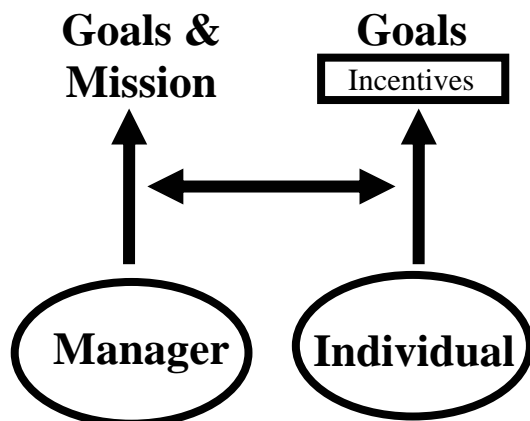


Figure 6. The Management Model



compete with organizations which are more responsive to customer needs. However, if the organizational goals and mission are changed, they may no longer be consistent with the incentives. So the employees, working to achieve the incentives, are still working to achieve the outdated goals and mission. The answer, then, seems obvious: just change the incentives to match the new goals. Yet any manager who has tried to change the incentives knows the difficulty of this solution. Employees have been known to resist change even when it is for their benefit! The nature of the management environment, with its "what can I use" foundation, engenders a feeling among employees that any change by management must be for the good of management and not for the employees. An attempt to change incentives, then, only fuels the flames of mistrust.

### **THE ECONOMIC VALUE OF "DELIGHT THE CUSTOMER"**

The solution to the management dilemma noted above is not in changing the incentives and further reinforcing the "what can I use" dynamic. Rather, the solution lies in shifting to a "what can I contribute" dynamic. This cannot be done through a "shared sacrifice" approach if employees believe that they are the only ones expected to sacrifice. Rather, it is done through engendering a "delight the customer" or value sharing atmosphere. The "what can I contribute" dynamic is at the heart of the "delight the customer" paradigm. Focus is on the needs of internal and external customers, rather than on "what can I get from them."

The leadership model is responsive to changing dynamics and overcomes the problems inherent in the management model. The vision, or common good in the relationship, is a linking of the needs of the participants with the human, information, and capital resources which will fulfill those needs. Because the needs are an elemental part of vision, the vision is always responsive to the dynamics. As the dynamics change, the vision flexibly responds to that change by developing and linking whatever resources are needed to fulfill those needs.

A shift to a contribution measure will also provide a solid foundation for building trust at Covey's interpersonal level where leadership takes place. If the focus of each party to an interaction is on "what can I contribute" rather than "what can I use," then the focus of each can shift from the "scarcity mentality" of hoarding, protecting, and guarding one's own

resources to the "abundance mentality" of truly fulfilling the needs of the other party. This engenders trust because it eliminates an element of mistrust: the concern that the other party has to be controlled so as not to abuse the relationship.

There is emerging empirical evidence that the contribution dynamic of the "delight the customer" value sharing paradigm makes sound economic sense. There are three measures of value sharing: 1) participants give more than required; 2) they become sustaining members; and 3) they share the vision. Winder (1994). Posner and Burlingham (1988) and Brown (1990) provide anecdotal evidence of these measures through case studies of two organizations showing high customer retention along with lower employee turnover and higher sales levels or profit margins than industry averages where value sharing concepts were employed. In addition, Berman's (2005) summary of recent studies indicates that these measures are evident in the "delight the customer" dynamic. He noted a Mercedes Benz USA study which indicated that the likelihood that a dissatisfied customer would buy or lease again from the dealership was only 10% and the likelihood of a satisfied customer only 29%, while 86% of delighted customers would remain "sustaining members" and lease or buy again. He cited a study estimating that a 5% increase in customer loyalty can result in a 25% to 85% increase in profits. As to "sharing the vision," another study cited by Berman estimated that an "apostle" (a delighted customer who "shares the vision" by providing word of mouth advertising) has a value of as many as eleven loyal customers.

### **RESILIENCE**

The integration of the guidance and responsive functions of leadership, with the resultant stability and agility, are what provide resilience in an organization. The ability to respond to current needs assists an organization in maintaining its position and remaining upright in the face of challenges. How does this apply at the individual leader level?

In 2003 Winder, Wertz, Crosby and Cook (2004), undertook the study of a simple question: Is there a single personality profile of the resilient school superintendent. Using a research methodology developed by the author at Leadership Dynamics Research Institute and using PDP survey tools administered and analyzed by Don Crosby of Global Behavior, a survey was conducted on twenty-five school superintendents which Dr. Wertz had identified



as “resilient superintendents” in his research on resiliency in the K-12 academic setting (Wertz 2003). These administrators seemed to have a resilient character which assisted them in weathering challenges, righting themselves, and bouncing back despite the challenges they faced. If the answer to the personality question were “yes, there is a single personality profile” then it would become easy to identify those candidates who could be successful superintendents. In addition, candidates with those personal profiles could have some assurance that many with their personality characteristics were successful superintendents, giving them hope that they could succeed in the superintendence function, notwithstanding the challenges they would face. If it turned out that there is not a single personality profile of the resilient superintendent, then further research could uncover what steps could be taken by persons with various personalities to become successful superintendents.

The superintendents in this study had an average of 17.3 years of experience as superintendents (median of 18 years), and an average of 11.6 years in their current position (median of 11 years). The study utilized the PDP ProScan survey, administered by Global Behavior, to identify behavioral characteristics, working style, communication style, and strengths of the participants.

The research revealed that there is not a single personality profile of the resilient superintendents surveyed. However, the profile data was not random, either. Not only are there some common characteristics among all survey participants, but in addition there are distinct patterns in the profiles. In fact, there are two predominant patterns and two minor patterns. Using similar research methodology, Wertz and Crosby (2005) confirmed these results in a subsequent survey of 17 international school superintendents.

The PDP ProScan identifies several behavioral characteristics of the survey recipients, and then identifies the degree to which the subjects possess or do not possess these characteristics. Each of these characteristics are represented along a scale, with the opposite end of the scale representing the opposite of the trait. The characteristics include Dominance (the take charge trait, opposite supportive), Extroversion (the people trait, opposite reserved), Pace (the patience trait, opposite urgent), and Conformity (the systems trait, opposite independent). For example high Dominance would reflect someone who is bold, authoritative, and assertive as opposed to someone

who is supportive, accommodating, and collaborative. The PDP ProScan analysis also measures Logic (Fact or Feeling decision-making style) and Energy Level and Energy Style (Thrust, “rocket launch” intense energy; Ste-nacity, “locomotive-like” steady energy; and Allegiance, dependable or maintenance energy).

## **COMMON BEHAVIORAL CHARACTERISTICS**

Although there was significant diversity in several traits, there was clear commonality in the Energy and Logic (decision-making) traits: the resilient superintendents possess a high level of energy and they most naturally base decisions more on feeling than on fact. In PDP scaling, their Energy Level places them in the Achiever Zone, where the primary concern is whether there is enough time in the day to do what they need to do.

Their natural tendency to base decisions on feeling is evidence of their reliance on intuition in their decision process. This is evidence of the guidance function of these leaders, who have a strong inner sense of who they are and what they are about, and have an ability to respond to that inner sense. Interestingly, PDP has the ability to measure their tendency to shift their natural tendency in their current environment, and in the research it was discovered that almost invariably the research participants shift toward more fact-based logic in their decision-making, evidencing the need to ensure that the rationale for their decisions is supported by data. This is evidence of the responsive function of leadership, in which they are responding to the need of constituents for factual decision making.

## **PATTERNS OF PERSONALITY**

The research finding that there are distinct personality patterns among resilient superintendents is fascinating in the context of the guidance and responsive functions of leadership. The most predominant personality styles can be referred to as the facilitator and the driver. The minor patterns are the agile superintendent and the structured superintendent. The characteristics of each of these is shown in Figure 7. How can leaders with seemingly opposite traits all be resilient? How can they exhibit both the guidance and the responsive functions of leadership?

The answer lies in the fact that the resilient superintendents did not exhibit extreme personality characteristics. For example, one group exhibited high



Dominance characteristics, but their Dominance was not a sharp Dominance, but rather was mild: they were not intimidating, bold, forceful, abrasive and demanding; rather they were competitive, decisive, and competent. Those who exhibited high Extroversion people traits were articulate, responsive, enthusiastic, and persuasive, rather than overwhelming, flamboyant, verbose, and gregarious. Those with low Dominance were supportive, agreeable, accommodating and collaborative, rather than undemanding, non-controlling, tentative, and complacent. Details about each of these profiles follows.

The Facilitator. Approximately 32% of the resilient superintendents (8 of 25) are facilitators. While exhibiting both guidance and responsive traits, their emphasis is more on the responsive function and less on the guidance function. While we might not expect that resilient superintendents would have low Dominance, this is a characteristic pattern for facilitators. Their predominant trait is Pace and patience with a balance of Extroversion and a slight level of conformity to rules and systems. They utilize a caretaker but persistent style of management, taking what comes, then adjusting as appropriate and moving ahead. Persuasion is a tool they use to accomplish things through people, and their focus is on cooperation and collaboration, evidence of the

responsive function of leadership. As with all groups, they exhibit high energy, but they approach tasks or accomplish goals with an Allegiance Energy Style, providing dependability and on-going support; and a Ste-nacity Energy Style, a steady, persistent locomotive type force. They are warm, friendly, and willing to listen, and seek to be in harmony with their environment. They are not quick to change, seeking to know expectations prior to starting a project, seeking strength in numbers and in ideas that are tested and proven, and making every move count. Consequently they are seen by some as being too laid back, and they will avoid trial and error approaches. They prefer to avoid conflict, but they insist on fair treatment and may preserve a memory of injustices to bring them up later.

The Driver. Approximately 44% of the resilient superintendents (11 of 25) are drivers. While exhibiting both guidance and responsive traits, their emphasis is more on the guidance function and less on the responsive function. Their most pronounced trait is the people trait, Extroversion. They are exciting, enthusiastic, and persuasive influencers, and they have a high enough level of Dominance to make them composed, confident, and innovative yet not so high as to prevent them from interfacing with others and even letting others take charge when appropriate, evidence of the responsive function of leadership. Yet unlike the

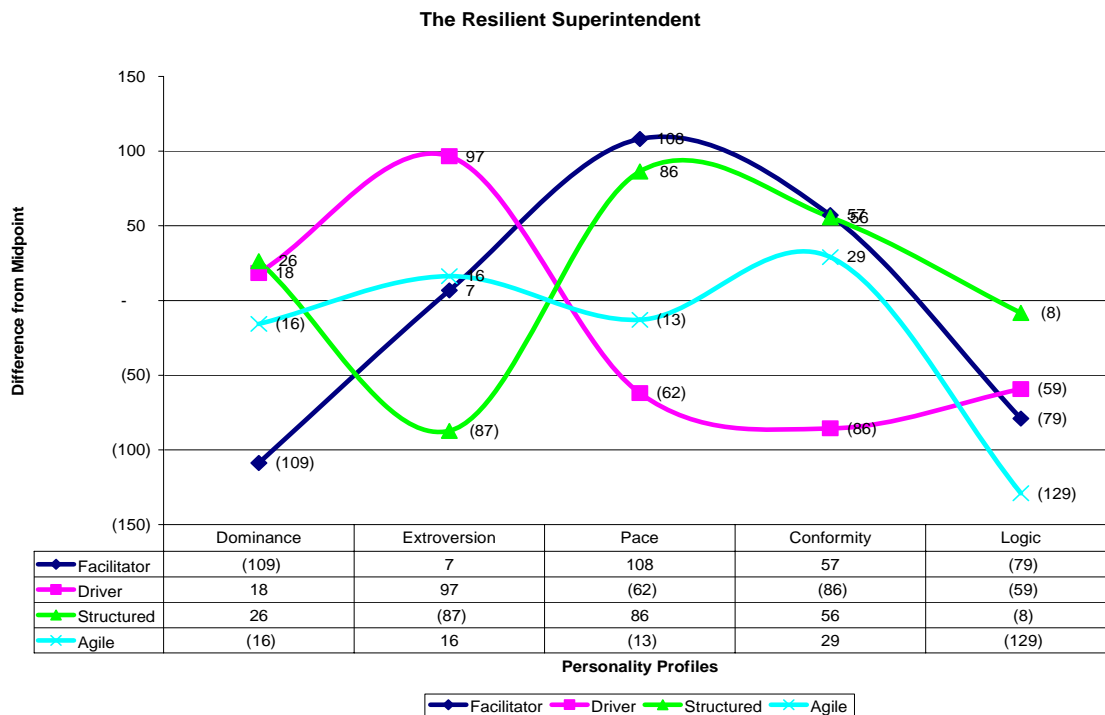


Figure 7. Levels of personality traits in Resilient Superintendents





facilitator, drivers have a low level of conformity, being more flexible, creative, independent, and big-picture oriented and being less inclined to adhere to systems and structure or to be detail-oriented. They are known for being independent, “free thinkers,” and prefer to delegate details. Drivers also exhibit low Pace and patience, having a greater sense of urgency, being fast paced and action oriented, and seeking change and innovation with fast results rather than moving deliberately on change. Drivers are sometimes competitive and hard driving, willing to take calculated risks to reach their goals. They exhibit a persuasive leadership style, seeking to understand the people they work with and influencing through persuasion. Their high Energy Level is exhibited through Thrust, an intense level of energy similar to the energy needed for a rocket launch, as well as Ste-nacity, a steady, persistent, locomotive style force. They are effective, influential communicators, and have a need to feel appreciated and liked.

The Agile Superintendent. Around 12% of the survey participants (3 of 25) are agile. They are adaptable, and can blend well and easily adjust to a variety of environments and cultures and can take on a wide range of responsibilities. They have enough Dominance to be composed, confident, and innovative, but do not have to be in charge. With slight Extroversion, they are cordial, poised, considerate, reserved, and sincere, and are quick, effective, and influential communicators. Their leadership style is traditional, adhering to systems and structures whenever possible, and continuing with what has worked in the past. They use persuasion in working with people, and insist on accuracy, quality, and precision; they have a need to be right, and may silently collect the proof they need and bury everyone with the facts. Their energy comes from rocket-launch Thrust, as well as from an Allegiance, carry-through capability.

The Structured Superintendent. Around 12% of the survey participants (3 of 25) are structured superintendents. They have high patience and systems traits, mid Dominance, and low Extroversion. They tend to be very thorough and cautious in doing things, wanting to do things right, and they do not like to be rushed. They have a caretaker leadership style, taking what comes, adjusting as needed, and then pushing ahead. They are self-confident, decisive, conceptually analytical, and organized. Of all resilient superintendents, these tend to make decisions more with a balance of fact and feeling as opposed to feeling, resorting to feeling when facts are not

available and decisions must be made. Their energy comes from an allegiance, or maintenance style, supplemented by a Ste-nacity locomotive-like force. With low Extroversion they prefer to work with others on an individual level or with groups they know well, evidencing the responsive function of leadership.

## **THE PARADOX OF LEADERSHIP**

It seems somewhat of a paradox that effective leaders will exhibit both the guidance and responsive functions of leadership—that they will show both stability and agility. But as noted above, it is the agility that creates the stability and ensures the viability of the leader and the long-term existence of the organization.

In the research noted above, there is further evidence of this paradox. Among the top ten traits of these leaders, they were both convincing (guidance) and understanding (responsive). They were industrious (guidance) and trustworthy (responsive). They were organized (guidance) and adaptable (responsive). They were earnest (guidance) and compassionate (responsive). And they were efficient (guidance) and pleasant (responsive).

## **CONCLUSION**

Though a seeming paradox, the guidance and responsive functions of leadership are integral companions which support each other and support stability and agility in the organization. Leaders who integrate these functions exhibit a resilient character which assists them in weathering challenges, righting themselves, and bouncing back despite the challenges they faced. The five dimension leadership model provides a framework for integrating both stability and agility, to enhance an organization’s ability to guide its customers and constituents but yet be continuously responsive to their needs.

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# The Five Dimensions of Quality

by Richard E. Winder, Lindon J. Robison, and Daniel K. Judd

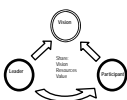
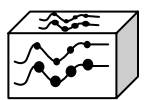
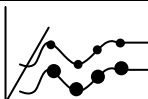


Dimension	Quality Function Deming Cycle	Driving Force Stage of Growth	Communication Dynamics	Philosophy Interaction	Psychology Maslow	Operational Model	Relationship	Domain Golden Rule	Principal Paradigm
 <b>Value Sharing</b> 5th	<b>Value Sharing</b> ("Delight the Customer")  (1) AIM	<b>Passion and Compassion;</b> Internal Desire  <i>Fulfillment or Maturity Stage</i>	Dialogue ("I found myself completing his sentences.")  <i>Structures</i>	Charity; Justice and Mercy (Caring)  <i>Community</i>	Integrative Psychology; Agape (Love)  <i>Actualization</i>	Leadership (Sharing of Vision, Resources [Human, Information, and Capital Resources], and Value)  Principle-Centered Leadership (Mission Development and Resource Utilization)  Management (Structured Management & Management by Objective)  Bureaucracy (Departmentalization) (Two Dimensions)  Tyranny or Autocracy (One Dimension)	Dedication; Mutual <u>Participants</u> for common good ("Lose self: gain all")	Free Will "Do unto others as you would have them do unto you."	Value Sharing ("Delight the Customer")
 <b>Interconnectivity</b> 4th	<b>Interconnectivity</b> (Paradigm Logic)  (2) PLAN	<b>Conscious Choice;</b> Inner Drive, Intrinsic Reward, Commitment of the Heart; Ethics; Moral Values  <i>Growth Stage</i>	Conscience or Intuition; Paradigm Shift (Empowerment)  <i>Archetypes</i>	Wisdom; Distributive Justice ("Do the right thing") <i>Interconnection</i>	Conative Psychology (Conscience, Instinct, Intuition)  <i>Esteem</i>		Mutual Promises "Partners" by agreement; Associates ("Win-Win")	Partnership "At the end of the rainbow we'll find our pot of gold."	Partnership ("Help each other grow")
 <b>Relationships</b> 3rd	<b>Relationships</b> (Systems Thinking)  (5) ACT	<b>Habits &amp; Processes;</b> Duty; Obligation; Association; Goal Orientation; Extrinsic Reward  <i>Success Stage</i>	Consensus; Understanding; Commitment (Agreement)  <i>Trends</i>	Passion, Feelings, Sensitivity; Commutative Justice ("Care about it") <i>Connection</i>	Affective Psychology (Spirit, Emotions)  <i>Social</i>		Quid Pro Quo; "Parties" to legally binding contract ("Fair trade")	Contractual "Go for the gold."	Achievement ("Get ahead")
 <b>Measurement</b> 2nd	<b>Measurement</b>  (4) STUDY (CHECK)	<b>Awareness;</b> Incentive or Compensation; Control  <i>Survival Stage</i>	Communication; Discussion (Two-way: "Tell and Listen") <i>Patterns</i>	Knowledge; Retributive Justice--Reward ("Do it right") <i>Interaction</i>	Cognitive Psychology (Mind)  <i>Safety</i>		Challengers; "Objects" which help achieve goals ("Win-Lose")	Competitive "He or she who has the gold rules."	Competition ("Get ahead of them")
 <b>Experience</b> 1st	<b>Experience</b>  (3) DO	<b>Stream of Consciousness;</b> Power; Greed; Fear; Apathy  <i>Existence Stage</i>	Conveyance ("Tell and Sell")  <i>Dynamics; Random Forces</i>	Actions; Retributive Justice--Punishment ("Do it!") <i>Action</i>	Behavioral Psychology (Body)  <i>Physiological</i>		Collusion; Blame; "Victims" of the other party, who blocks achievement of goals; ("Lose-Lose")	Enforcement "Bury it!" ("If I can't have it, he or she can't either.")	Punishment ("Get back" or "Get even") or Apathy ("Why bother?")

Chart 2. The Five Dimensions of Quality.

